

. BRANSTAD, GOVERNOR  
KIM REYNOLDS, LT. GOVERNOR  
CHAIR

BOARD OF PAROLE  
JASON T. CARLSTROM,

January 17, 2014

The Honorable Governor Terry E. Branstad  
Governor of Iowa  
State Capitol  
Des Moines, Iowa 50319

RE: FY2013 Annual Report

Dear Governor Branstad:

I am pleased to submit our Annual Report for the State Fiscal Year 2013 on behalf of the members and staff of the Iowa Board of Parole.

The Board approved 1,103 work release applications and 3,967 paroles in FY2013 compared to 1,325 work releases and 4,015 paroles in FY2012. An additional 421 offenders were placed on special sentence parole after discharging an underlying sex offense. There were 3,529 individuals on parole supervision at the end of FY2013 compared to 3,128 at the end of FFY2012. The rate of parole revocation for FY2013 was 1.57% compared to 1.58% in FY2012.

The Board and staff worked diligently to develop a Board specific module for the Iowa Department of Correction's Iowa Corrections Offender Network (ICON). Phase 1 of the ICON project was deployed on August 26, 2013. The Board continues to develop Phase 2 of the project incorporating a full victim services module, a full clemency module and a full revocation module. The ICON project enabled the Board to revamp the review process. Revamping the review process has enabled the Board to more evenly distribute the workload and enables the Board to be more responsive than ever before.

The Board has been able to safely manage the parole population. Developments currently underway will further improve safe population management and enhance the collaboration among the Board and other stakeholders in the criminal justice system.

Sincerely,

Jason T. Carlstrom  
Chair, Iowa Board of Parole

(Office) 515-725-5757. 510 E. 12<sup>th</sup> Street – Suite 3. Des Moines, Iowa 50319. (FAX) 515-725-5762



# Iowa Board of Parole FY2013 Annual Report

## Contents

I.	HIGHLIGHTS .....	2
II.	MISSION STATEMENT .....	3
III.	AGENCY OVERVIEW .....	3
IV.	BOARD OF PAROLE MEMBERSHIP .....	4
V.	BOARD RESPONSIBILITIES .....	8
VI.	STRATEGIC PLANNING .....	9
VII.	IOWA CORRECTIONS OFFENDER NETWORK (ICON) MODULE .....	10
VIII.	IOWA PAROLE RISK ASSESSMENT .....	11
IX.	IOWA TELECOMMUNICATIONS NETWORK .....	12
X.	PAROLE REVOCATION .....	12
XI.	VICTIM SERVICES .....	15
XII.	FY2013 WORKLOAD, LENGTH OF STAY, AND PRISON POPULATION .....	16
XIII.	APPENDIX A: IOWA PAROLE RISK ASSESSMENT .....	22
XIV.	APPENDIX B: MISSION STATEMENT, GOALS, GUIDING PRINCIPLES .....	40

## **I. HIGHLIGHTS**

- The membership changed in FY2013. Nancy Boyd's term expired April 30, 2013. Sheila Wilson was appointed to fill the vacant position. Nancy Boyd was appointed to fill one of the new alternate positions. W. Ray Richardson and Jacklyn Romp were appointed to fill the remaining two alternate positions.
- The Board began development of a Board specific module in the Department of Correction's Iowa Corrections Offender Network (ICON). The initial module became operational early in FY2014 on August 26, 2013.
- The Board approved 1,103 work release applications, 3,967 inmates were released on parole, and an additional 421 offenders who had discharged a sex offense were placed on special sentence parole pursuant to Iowa Code section 903B. There were 3,529 individuals on parole caseloads at the end of the fiscal year.
- The Board continued its use of the Iowa Communications Network (ICN) during FY13, saving on costly travel to conduct hearings.
- The Board continues to reach out to victims of crime to ensure that victims are notified of decisions made by the Board and providing victims of violent crime an opportunity to provide input into the deliberative process. There were 3,907 victim notices sent in FY2103. The Board has a toll-free victim number to facilitate communications: 866448-4611.
- The Board implemented a new Parole Risk Assessment. The new risk assessment was developed to better predict re-offending and, specifically, to more accurately predict violent re-offending. There were 3,719 risk assessments completed during FY13. The tool assists the Board in pursuing public safety in the process of making release decisions to manage the prison population.

## **II. MISSION STATEMENT**

To enhance overall public safety by making evidence-based and informed parole decisions for the successful re-entry of offenders back into the community to become productive and responsible citizens.

Goals:

- Utilize evidence-based practices in the decision-making process
- Promote supervised release at the appropriate time and level
- Enhance a collaborative working relationship with all stakeholders in the criminal justice system
- Foster a deliberation system that respects the interests of the public, victims, and offenders
- Be vigilant in the acquisition of knowledge and process improvement □ Become a nationally recognized leader among paroling authorities

### III. AGENCY OVERVIEW

The Iowa Board of Parole consists of five members appointed by the Governor. The chair and vice-chair are full-time salaried members of the Board. Three members are paid on a per diem basis and all five members serve staggered, four-year terms. Iowa law states that the membership of the Board must be of good character and judicious background, must include a member of a minority group, may include a person ordained or designated a regular leader of a religious community and who is knowledgeable in correctional procedures and issues, and must meet at least two of the following three requirements:

1. Contain one member who is a disinterested layperson;
2. Contain one member who is an attorney licensed to practice law in this state and who is knowledgeable in correctional procedures and issues;
3. Contain one member who is a person holding at least a master's degree in social work or counseling and guidance and who is knowledgeable in correctional procedures and issues.

The board must be as equally divided as possible in gender and political party.

### IV. BOARD OF PAROLE MEMBERSHIP

- **Jason Carlstrom**, West Des Moines. Jason T. Carlstrom is a graduate of Simpson College with a B.S. in Biology and J.D. from Drake University Law School. Carlstrom was appointed to the Iowa Board of Parole in September 2012 to serve as the Chair of the Board. He came to the Board from Spirit Lake, Iowa where he served as the Dickinson County Attorney. Carlstrom practiced law as a solo practitioner in general practice primarily representing criminal defendants and youth with additional focus in bankruptcy and family practice. The years between graduating from Simpson College and joining the Bar as an attorney were spent as an airline pilot. Carlstrom has been active in Rotary and served on the board of the Spirit Lakes Rotary Club for five years. Carlstrom has also been involved with the kinship program as a mentor to youth, and is a volunteer confirmation teacher at his church.

- **Doris Kelley**, Waterloo. Doris Kelley was appointed to the Board in January 2011. Prior to joining the Board, Kelley served as an independent consultant working with communities throughout the United States that were interested in exploring the technical and financial feasibility of owning and operating municipal communications utilities. Kelley's expertise is feasibility study project management, sales training, and utility marketing and public relations. Before starting her consulting business, she served as Director, Consulting Services for DesignLiNC, Inc. and Director, Business Development for Black & Veatch Inc. In both positions, her responsibilities encompassed all aspects of the broadband telecommunications process from feasibility studies to completion of projects. She actively participated in proposal preparation, presentation and contract negotiation with a variety of clients including OEMs, Carriers, and Strategic Alliances. In 2007, Kelley was elected to the Iowa House of Representatives, where she served four years. While serving as a State Representative, Kelley was assigned to the Commerce, Education, Ways and Means, and Economic Growth Committees. She was Vice Chair of the Administration and Regulation Appropriations Subcommittee and the Transportation Committee. Ms. Kelley currently serves the chair of the Waterloo Telecommunications Utility Board of Trustees, and is a former member of the National Conference of State Legislators' Communications, Financial Services & Interstate Commerce Committee and the Electronic Health Records System Task Force and an ex officio member of the Iowa Comprehensive Health Association Board of Directors. She is a member of the Iowa Statewide Parent Information Resource Center Board of Directors. She has received numerous recognition awards in her professional career including Who's Who of Information Technology, the Iowa Governor's Volunteer Award for downtown economic development, Iowa Association of Municipal Utilities 2010 Public Service Award, 2010 Cedar Valley Woman of the Year, Iowa Bankers Association 2008 Legislator of the Year, Associated Builders and Contractors (Iowa Chapter) 2009 Free Enterprise Champion, and the Iowa Associated General Contractors of Iowa 2010 Outstanding Service Award.
- **James Felker**, Hiawatha. Mr. Felker was appointed to the Board in January 2011. He holds a Bachelor's Degree in Criminal Justice and a Master's Degree in Rehabilitation Counseling, Psychology from the University of Iowa. He was employed for more than 35 years with the Iowa Department of Corrections where he played a major role in developing Iowa's first offender classification system. He served as the DOC Classification Manager for 25 years and was responsible for directing offender classification activities at the Department of Corrections' Reception Center (IMCC). He also served as the liaison between the Department of Corrections and the Attorney General's Office for matters related to sex offender civil commitment. MR. Felker is a member of the American Corrections Association and Iowa Corrections Association.
- **W. Thomas Phillips**, Waukee. Mr. Phillips was appointed to the Board in January 2011. He is a Consultant with TCP Inc., a business providing services to educational and nonprofit organizations. He served as Director Community Investment with Pioneer

HiBred/DuPont in 1993, retiring in 2006. In this role, he managed all charitable, volunteer and community-related programs on behalf of Pioneer/DuPont. Before joining Pioneer, he worked for the Quaker Oats Company in Chicago, Illinois. During his 20 years with Quaker, he worked in various sales and managerial positions. He was the vice president of external affairs and executive director of the Quaker Foundation when accepted his position at Pioneer. Mr. Phillips earned a Bachelor of Arts degree in business from the University of Northern Iowa in 1966 and a Master of Arts degree in Business Education from Drake University in 202. HE completed the Senior Management Program at Northeastern University in 1987 and the Advanced Management Program at Harvard Graduate School of Management in 1988. Mr. Phillips currently serves as a board member for the Joshua Christian Academy and Iowa African American Museum. In the past, Mr. Phillips has served as a member of the board of directors for the University of Northern Iowa Foundation, Pioneers in Education, and the United Way of Chicago, the Executive Leadership Council, the Institute for Character Development, and a number of other not-for-profit organizations. In 2000, Mr. Phillips received the Iowa Commission on volunteer Service award; in 2004 the Humanitarian Award from the NAACP-Ames, Iowa branch also the Lifetime Achievement in Philanthropy Award from the National

Center for Black Philanthropy. He was honored with the Des Moines Business Record's Minority Business Leader of the Year in 2005. Mr. Phillips was honoree for the Des Moines University Glanton Scholarship Dinner and inducted into the Iowa African American Hall of Fame in 2006.

- **Sheila Wilson**, West Des Moines. Sheila Wilson was appointed to the Board in May 2013. She holds a Bachelor's of Science Degree in Criminal Justice and a Master's of Arts Degree in Counseling from Illinois State University, Normal, Illinois. She retired from United States Probation, Southern District of Iowa in April 2013. During her 21 years with U.S. Probation, Ms. Wilson worked as a United State Probation Officer, Senior U.S. Probation Officer and retired as Supervising U.S. Probation Officer. Ms. Wilson was also employed by the Illinois Department of Corrections for 10 years. She started her career in Criminal Justice at the Dwight Correctional Center; Dwight, Illinois in 1976 as a Correctional Counselor and in 1978 was promoted to Clinical Services Supervisor. In 1980 she was appointed to serve as the Assistant Warden of Programs at the new East Moline Correctional Center, East Moline, Illinois. Ms. Wilson was responsible for establishing a monitoring Health Care, Recreation, Clinical Services, Educational and Vocational Services and Religious Services at this minimum security facility for 750 offenders. She is a member of the International Association of Paroling Authorities.

## BOARD STAFF

- James Twedt, Administrative Law Judge II
- Lori Rankin, Parole Liaison Officer
- Diane Jay, Statistical Research Analyst II

- Sarah Harms, Victim Services
- Andrea Muelhaupt, Parole Liaison Officer
- Lea Scaletta, Administrative Assistant
- Daren Jaques, Administrative Law Judge II. Mr. Jacques was deployed to military duty on or about May, 2012

#### ALTERNATE MEMBERS

- **Nancy Boyd**, Des Moines. Ms. Boyd was appointed to the Board in May 2009. She holds a B.A. degree, *cum laude*, from Clarke College and a J.D. degree from University of Iowa. Ms. Boyd has the distinction of pursuing major parts of her professional legal career in capacities within all three branches of state government in Iowa, as well as working for the private sector in a business-oriented law firm. The process and politics of state government policy-making became quite clear to her during her five years as a state legislator from eastern Iowa and her service as an administrative assistant to Governor Robert D. Ray. The details and context of the law were emphasized during her five years on the Supreme Court as a law clerk to Justice Warren J. Rees and as Executive Assistant to Chief Justice W. W. Reynoldson. Ms. Boyd also served as an Iowa Assistant Attorney General in the Criminal Appeals Division as well as an Administrative Assistant to the Commissioner of the Department of Human Services. During Ms. Boyd's years of service as a Commissioner on the Iowa Utilities Board, she learned firsthand the issues of administrative adjudication and administrative rules as she made significant decisions as part of the Board that affected every Iowan and every business. From 1997-2009, Ms. Boyd was part of the legislative lobbying team at Brown Winnick Law Firm in Des Moines, Iowa, with a full time presence in the Iowa State capitol during legislative session representing multiple business and agribusiness clients. She also did considerable administrative work before the Iowa Utilities Board in energy and telecommunications issues.
- **Jacklyn Romp**, Des Moines. Jackie Van Ekeren Romp is a native of Monroe, Iowa, and a graduate of Iowa State University with a B.A. in Political Science and J.D. from the University of Iowa College of Law. She is admitted to practice law in Iowa and Illinois. Romp began her professional career as an attorney with the Chicago-based international law firm McDermott, Will & Emery. She also practiced with the Des Moines firm of Bradshaw, Fowler, Proctor and Fairgrave, and subsequently served as Vice President with AmerUs Bank and AmerUs Finance; Legal Counsel and Administrative Rules Coordinator for the Office of the Governor of Iowa; and as Vice Chairman of the Iowa Board of Parole. Romp received gubernatorial appointments to the Iowa Board of Regents (1985-89), the Iowa Board of Parole (1998-1999), and the Iowa Petroleum Underground Storage Tank Fund Board (1995-97). In her capacity on the Board of Regents, she also served on the Board of Directors of the Iowa State University Achievement Foundation, Iowa Public Television and the Iowa State Memorial Union. Romp currently serves on the Board of Trustees of the Des Moines Public Schools

Foundation. Previously, she served on The Terrace Hill Society Board of Directors, Des Moines University Community Advisory Council, and the Board of Directors of the University of Iowa Alumni Association, the Junior League of Des Moines, the Iowa Association of Business and Industry, and Friends of CASA (Court Appointed Special Advocates). She is a past member of the Des Moines A.M. Rotary, the Greater Des Moines Leadership Institute, and Leadership Iowa. She is a member of Central Presbyterian Church where she has served on the Foundation, Christian Education Board, Board of Deacons, and is a Sunday school teacher. Romp lives in Des Moines and is married to Bill Romp. They have two children, Jack, age 14, and Jane, age 12.

□ **W. Ray Richardson**, Waterloo.

## **V. BOARD RESPONSIBILITIES**

*Inmate Reviews and Interviews.* By law, the Board systematically reviews the status of each person committed to the custody of the Director of the Iowa Department of Corrections and considers the person's prospects for parole or work release. The Board reviews at least annually the status of person other than Class A felons, Class B felons serving time under the 70% law, felons serving mandatory minimum sentences, and those serving determinate sentences. The Board also provides the person written notice of its parole or work release decision.

Not less than twenty days prior to conducting a hearing at which the Board interviews the person, the Board notifies the Department of Corrections regarding the interview schedule. The Department then makes the person available to the Board at his or her institutional residence.

*Risk Assessment.* The Board has used offender risk assessments since March, 1981. Its use has enabled the Board to increase paroles while maintaining a high degree of public safety. An offender is rated on a scale from one to nine. In order to be granted parole, those receiving a parole risk score of one through six require three affirmative votes from the Board, a seven or eight requires four votes; and a risk score of nine requires all five votes.

*Victim Notification.* The Board notifies registered victims of violent crimes of upcoming interviews with identified offenders and of decisions made at those interviews. The victim or appointed counsel has the right to attend interviews and provide testimony to the Board.

*Parole.* The Board is empowered to grant, rescind, and revoke parole, as well as discharge offenders from parole. The Board decides the conditions of parole, which may be supplemented by the supervising Judicial District.



*Work Release.* The Board is empowered to grant or rescind work release. Work release periods are approximately six months, but may be adjusted through Board action.

*Review of Parole and Work Release Programs.* The Board is required to review parole and work release programs being instituted or considered nationwide and determine which programs may be useful for Iowa. Each year the Board also reviews current parole and work release programs and procedures used in the State of Iowa.

*Review of Computer System.* The Board is required to increase utilization of data processing and computerization to assist in the orderly operation of the parole and work release system. The Board is currently developing a completely integrated paperless filing, voting and management computer system in partnership with the Iowa Department of Corrections. The Board will have and share information in “real time” with the Department of Corrections regarding the status of each inmate and parolee in Iowa. All records and information required for Board work is available electronically and the decisions and work done by the board are entered directly into the computer system and available to the Department of Corrections immediately.

*Special Sentence.* Legislation was enacted in 2005 that established ten-year and lifetime post-release supervision for sex offenders. A person convicted of a class B or C Felony (903B.1) are committed to the custody of the director of the Iowa Department of Corrections, with supervision, as if on parole, for the rest of their life. Those convicted of a misdemeanor or Class D Felony (903B.2) are placed on supervision+ for a period of ten years. Special sentence paroles may include offenders incarcerated in prison, probationers, offenders serving jail time, and offenders participating in community service programs.

## **VI. STRATEGIC PLANNING**

The Board undertook a Strategic Planning session just prior to the beginning of FY2013 to identify areas of future development. The Board identified the following areas of focus for FY2013 and beyond:

- Workload mitigation □ Wise Use of Iowa’s resources
- Collaboration, knowledge development, and exchange with partners
- Vision, mission, and desired outcomes of the Board
- Risk Assessment upgrade

### *Workload Mitigation:*

Workload mitigation was determined to be a crucial step in the Board’s future in order to be efficient with the resources available and to be fiscally responsible. Workload mitigation has come, in part, by migrating away from the two computer system platform used prior to and throughout FY2012 and into FY2013 to a single computer platform, re-engineering the

annual review process, exploring current practices of case review, cross training staff, and revamping the interview process. The Board undertook the development of a Board specific module of the Department of Correction's (DOC) Iowa Corrections Offender Network (ICON). ICON development is scheduled to proceed through numerous phases incorporating the various areas of responsibility within the Board of Parole. Specific information about ICON development can be found in its own section below.

#### *Wise Use of Iowa's Resources:*

Reducing workload in addition to reviewing and streamlining the decision making process will help the board ensure that Iowa's resources are used as wisely as possible. In prior years the average length of stay increased and the numbers of sentence discharges increased. The result was a steady increase in the total prison population to record numbers in excess of 9,000 inmates. Iowa's capacity is slightly in excess of 7,200. The prison population, therefore, was reaching levels that affected the safety of the institutions and increased the cost of incarceration. The Board, therefore, determined that a careful review of its decision making practices, programming requirements, and wise use of community based corrections resources would improve the utilization of Iowa's resources. It has been shown in various studies and statistical analyses that supervised release correlates with improved success of offenders upon re-entry.

#### *Collaboration, Knowledge Development, and Exchange with Partners:*

The Board of Parole is committed to utilizing evidence-based practices and incorporating the wisdom of stakeholders in its business. Making good parole and work release decisions depends heavily on a number of factors including the input of Department of Corrections personnel who are directly involved with the offender. The Board utilizes risk assessment tools to assist with its decisions and is committed to exploring new and/or better ways to utilize assessment tools. The Board worked closely with the Department of Corrections throughout FY2013 to improve processes, development an updated risk assessment tool and begin development of the Board's paperless computer system within ICON

#### *Vision, Mission, and Desired Outcomes of the Board:*

The Board's strategic plan specifically called for the creation of guiding principles. Guiding principals were developed and approved for use in March, 2013 incorporating a new risk assessment tool that was approved for use in December, 2012. The guiding principles can be found in Appendix B.

#### *Risk Assessment Upgrade*

A new risk assessment tool was created to assist the Board enhance public safety in its decision-making processes. The new risk assessment tool is a landmark development that has been shared throughout the country and internationally. Detailed information about the new risk assessment is located in Appendix A of this report.

## VII. IOWA CORRECTIONS OFFENDER NETWORK (ICON) MODULE

Development of the Board of Parole specific module within ICON is a landmark change in Board operations, policy and processes and marks a monumental achievement in interdepartmental cooperation. ICON is a complete offender information network used throughout the Department of Corrections and Community Based Corrections operations that addresses all elements of inmate management. ICON now has a module that allows the Board of Parole and the Department of Corrections to share information on a real-time basis and manage screening, reviewing and release decisions for offenders. The Board of Parole and Department of Corrections work carefully together, each addressing its specific roles in the criminal justice system, to manage offenders in the most efficient and safe manner possible. The ICON project created a much-needed change to Board practices that allows for efficient processing of cases and, at the same time, is a testament to the achievements that can occur when departments cooperate. The project also reflects the strong working relationship that has been developed between the Board of Parole and the Department of Corrections.

The ICON project is proceeding in phases.

Phase 1: The Board's filing, voting, information gathering and correspondence functions were the primary focus of Phase 1. The BOP module, itself, and the transferring of data from the old IParole system were a major parts of Phase 1. Functional elements can be added to the module to cover the Board's areas of responsibility. All filing, board voting, informational dockets, and correspondence were developed during FY2013 and became operational during the first part of FY2014 on August 26, 2013. The ICON module allows the Board to have real time information directly from the DOC and to work in a completely paperless environment. The module, furthermore, facilitated revamping of the annual and special review calendars to create more consistent and vastly more responsive processes for case review. The Board is able to conduct annual review screenings at every prison location every month as opposed to annual reviews being conducted every other month as was the old process. The Board is able to conduct special screenings of all kinds on a rolling basis essentially screening cases constantly.

Phase 2: The Board's revocation processes, website, full clemency functions and the full victim services elements of ICON will be developed during phase 2. Temporary data gathering and filing functionality for these elements of ICON were created in phase 1 with full functionality and updated, more efficient processes, being incorporated into phase 2 development. Phase 2 is forecasted to be completed and fully functional before the end of FY2014.

Phase 3: Phase 3 incorporates various statistical analysis and reporting functions that will assist the Board in monitoring and reporting the Board's work. Phase 3 development will commence after Phase 2 is completed and will continue into FY2015. Ongoing

improvements will also take resources, time and effort throughout Phase 3 development and into the future.

## **VIII. IOWA PAROLE RISK ASSESSMENT**

The Board adopted a new risk assessment tool in December, 2012. The new Parole Risk Assessment is specifically created to predict violent re-offending in Iowa. The tool was developed by the Department of Corrections at the request of the Board of Parole to replace the Board's long-standing and aging risk assessment tool. The Board also adopted the use of three other wide-spread and standardized risk assessment tools for use in its deliberations and decision-making responsibilities. The Board utilizes the Iowa Sex Offender Risk Assessment (ISORA), the Static-99 (another sex offender specific risk assessment) and the Level of Service Inventory-Revised (LSIR). In addition to the risk assessment tools, the Board utilizes extensive information about offenders and their backgrounds contained in the records maintained by the Board and the Department of Corrections.

## **IX. IOWA TELECOMMUNICATIONS NETWORK**

On July 14, 1994, the Board began to make use of the new Iowa Communications Network (ICN) to manage the State's prison population more effectively and efficiently. The ICN is a statewide two-way full motion fiber optic communication network that uses modern technology to connect points throughout all of Iowa's ninety-nine counties. This network facilitates a variety of Board functions including parole interviews, registered victim input, and parole revocation hearings. Further, the ICN has allowed criminal justice students and the public to observe actual interviews of inmates being considered for parole or work release.

Iowa is the first state in the Nation to use its fiber optics system for monthly parole interviews. Since its initial use of the system in July of 1994 the Board experience few difficulties with the ICN; the benefits (i.e. cost effectiveness, reduced travel time and its ease of use) have generated positive reactions from the Board, the media, the public and other states. Inmates and family members have also expressed support for participation in the interview process via the ICN.

With the completion of its own classroom in October, 1995, the Board greatly increased its use of the ICN in the parole process. The Board no longer needs to prepare volumes of inmate files for transport to an ICN classroom; files are reviewed from the Board's conference room. Thus, transportation and security concerns regarding inmate files have been greatly reduced.

Prior to ICN, victims desiring input were required to travel to distant institutions, were subjected to a rigorous security check, and were possibly seated in the same room as the inmate's family and friends. With the creation of the Board's TeleVictim Program, a registered victim is notified of the intended release hearing and is directed to an ICN site near

the victim's home. The victim travels to the local site, provides input, and returns home. The process often requires a few minutes instead of many hours under the old process. Further, the ICN separates victims from inmates, families, and friends and helps defuse potentially tense situations. The incorporation of the registered victim input process via the ICN continues to be a model for parole board interactions with registered victims.

The Board plans to continue its use of the ICN and other technological advances as they become available. Continued use of technology, evidence-based practices and continuous evaluation of processes will assist the Board in its primary goal to protect the public from serious crime and to manage the state's prison population.

## **X. PAROLE REVOCATION**

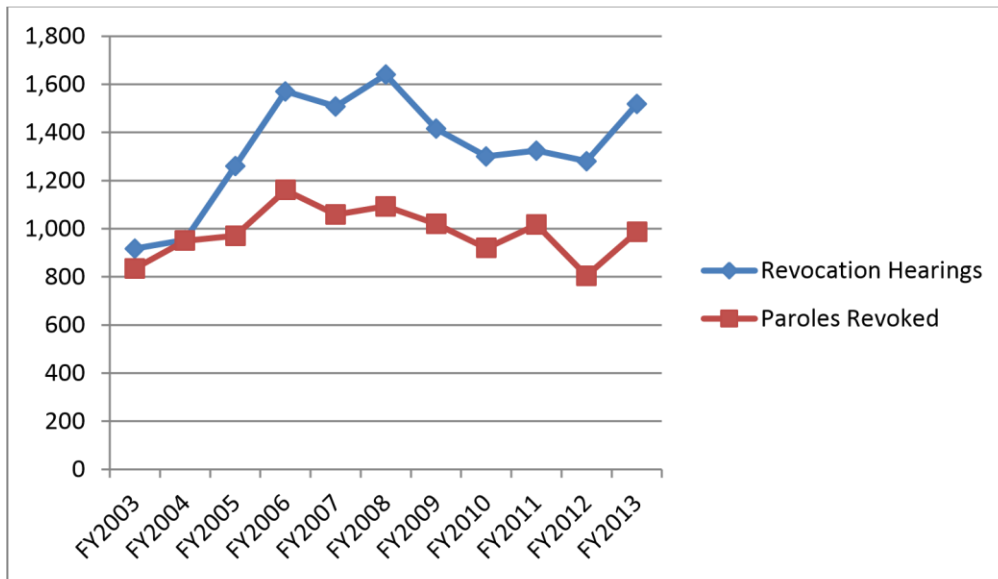
The parole revocation process begins with the receipt of a parole officer's violation report form. The alleged violator is subsequently notified to appear before an Administrative Law Judge (ALJ) for a parole revocation hearing. The ALJ determines whether or not the parolee is in violation of terms of the parole agreement. If the Judge finds that a parole violation has occurred, one of the following sanctions may be imposed:

- Re-instatement of parole with credit for jail time served;
- Re-instatement of parole with additional conditions imposed (including transfer to Intensive Parole Supervision);
- Diversion to an appropriate treatment program;
- Revocation of parole and transfer to a work release program;
- Revocation of parole and return to prison.

In the event a parolee is convicted and sentenced for a felony or aggravated misdemeanor offense while on parole, the parole is deemed revoked as of the date of the commission of the new offense. While no parole revocation hearing is conducted for an automatic revocation, an ALJ is required to process the judgment and sentence on the new conviction and notify the parolee of the revocation. Automatic revocations are included in the number of revocation hearings, in order to reflect the workload of ALJ's.

Figure 1, below, shows the number of hearings and revocations for FY2013 and prior years. The data shows an increase in the raw number of paroles in FY 2013. The increase is largely due to the increased parole population resulting from increased numbers of parole releases from prison. The increase in paroles and revocations is further affected by the rapidly increasing number of sex offenders placed on special sentence parole supervision after the discharge of their underlying sex offense pursuant to 903B.

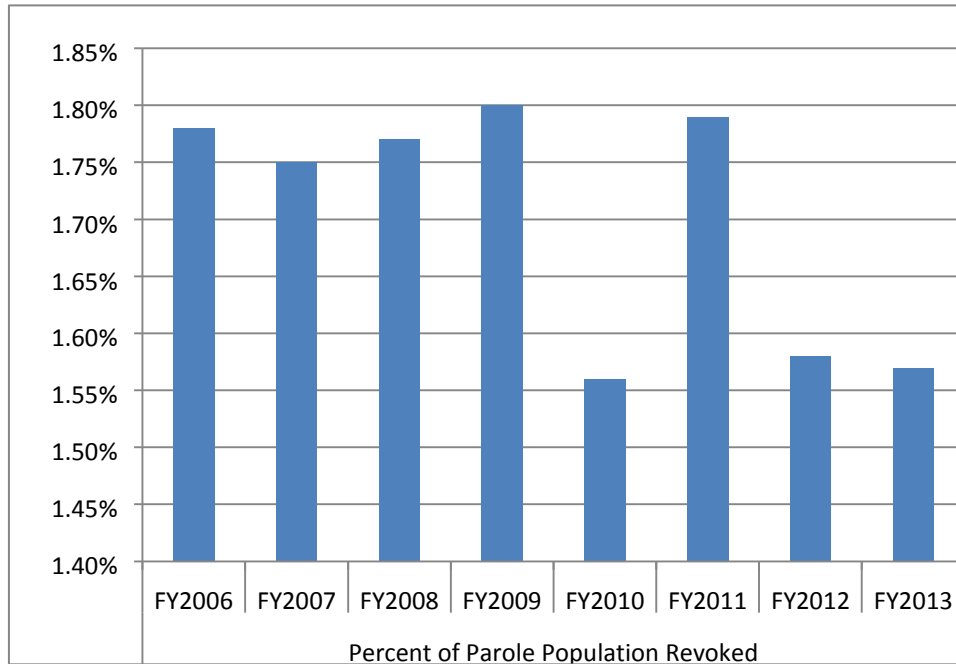
Figure 1: Numbers of Revocation Hearings and Numbers of Paroles Revoked



Graph Source: ICON, Governor's Dashboard Measures

Figure 2, below, shows the percentage of the parole population revoked in FY2013. The data shows that the rate of revocation on a parolee per capita basis has gone down even though the raw numbers of revocations has increased. The rate for FY2013 is 1.57%.

Figure 2: Percent of Parole Population Revoked



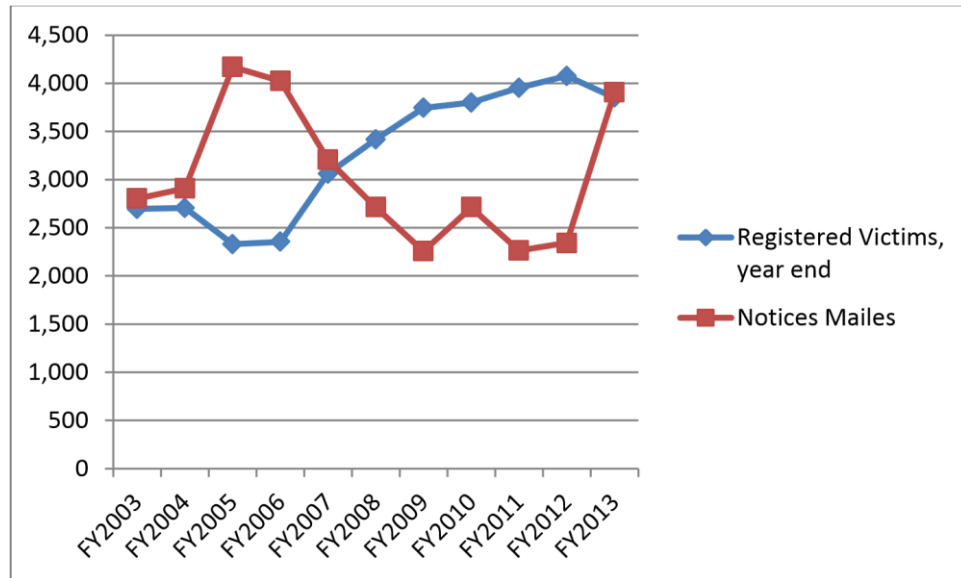
Graph Source: ICON, Governor's Dashboard Measures

## **XI. VICTIM SERVICES**

The Parole Board recognizes the special place that victims occupy as unwilling participants in some of the most violent episodes of the criminal justice system. The Board believes that this special place entitles victims to certain rights and privileges and that victims have special insight into the crimes committed by individuals that the Board considers for parole and work release. The Board believes that this insight demands the Board's attention and respect in making release decisions. Victim participation is an important element in the parole interview and decision-making process. The Board is committed making sure victims are informed, welcomed and respected.

The graph and table below represent the numbers of victims registered with the Board and the number of victim notifications mailed.

Figure 3: Number of Registered Victims and Number of Victim Notices Mailed



### VICTIMS

Registered Victims at Yearend	3,850
Victim Registration Requests	550
Victim Registrations Approved	410
Victim Notices Mailed	3,904

Source: ICON

## XII. FY2013 WORKLOAD, LENGTH OF STAY, AND PRISON POPULATION

\*Note: Data contained in this section was gathered utilizing improved collection and analysis methods. Comparing the data for FY2013 to data from prior years will not provide a consistent comparison. Data collection in prior years often resulted in “double counting” of actions taken by the board. In prior years, for example, a decision to interview an inmate was counted as a “review” and “decision” and the decision made pursuant to and after the interview was counted as an additional “review” and “decision.” The same set of decisions would only be counted as one “review” and “decision” by the board under the current methods.

The Board meets approximately twelve days per month for panel screening days. Panels consist of three board members generally consisting of the Board Chair, Board Vice Chair and a part time board member. The Board conducts a monthly business meeting on the first Thursday of the month. Figure 4 breaks out the Board’s workload by type of decision made.

The disproportionate representation of minorities incarcerated in Iowa is a concern to the Board of Parole. The Board is committed to identifying sources of the disproportionality and seeking ways to address the problem. A preliminary concern is that Board activity may intentionally or unintentionally incorporate racial or ethnic bias in making release decisions.



Figure 5 breaks down the Board's releasing activity by race and ethnicity. The Board's activity is in proportion to the racial makeup of the prison population demonstrating that actual or perceived racial bias does not impact the Board's release decisions.

Figures 6, 7 and 8 illustrate the average length of stay for offenders broken down by class of crime. Figure 9 represents the prison population for FY2003 through FY 2013.

Figure 4: Board Workload, review and decision statistics

<b>Performance Summary: FY2013</b>	
<b>Release Deliberations</b>	
Offender Interviews	
Parole Granted	185
Work Release Granted	121
Special Sentence Granted	30
Deny Release	225
Total	561
Case Review	
Parole Granted	3,782
Work Release Granted	982
Special Sentence Granted	391
Deny Release	4,832
Total	9,987
<b>Total Release Deliberations</b>	<b>10,548</b>
<b>Special Review Decisions</b>	
Amend	55
Parole Rescind	269
Work Release Rescind	45
Total	369
<b>Appeal Decisions</b>	
Appeal with modification	10
Deny Appeal	460
Total	470
Grand Total	11,387
<b>Executive Clemency (Review/Recommend)</b>	
Commutation of Sentence	24/1
Federal Restoration of Citizenship	0/0

Pardon	56/22
Restoration of Citizenship	0/0
Special Restoration of Citizenship	66/36
Total	122/59

Source: ICON

Figure 5: Board Decisions by Race and Ethnicity

Release Decision Counts by Race			
From 07/01/2012 to 06/30/2013			
Release Decision	Race	Ethnic Origin	Count
Parole	American Indian or Alaska Native	Hispanic	3
		Non-Hispanic	65
	Asian or Pacific Islander	Non-Hispanic	43
	Black	Hispanic	4
		Non-Hispanic	913
	White	Hispanic	221
		Non-Hispanic	2715
		No Ethnic Origin Entered	2
	No Race Entered	No Ethnic Origin Entered	1
Work Release	American Indian or Alaska Native	Non-Hispanic	30
	Asian or Pacific Islander	Non-Hispanic	7
	Black	Hispanic	1
		Non-Hispanic	311
	White	Hispanic	44
		Non-Hispanic	710
Special Sentence	American Indian or Alaska Native	Hispanic	1
		Non-Hispanic	4
	Asian or Pacific Islander	Non-Hispanic	3
	Black	Non-Hispanic	41
	White	Hispanic	35
		Non-Hispanic	338
Deny Release	American Indian or Alaska Native	Hispanic	2
		Non-Hispanic	111
	Asian or Pacific Islander	Hispanic	1

		Non-Hispanic	34
	Black	Hispanic	6
		Non-Hispanic	1239
		No Ethnic Origin Entered	1
	White	Hispanic	299
		Non-Hispanic	3361
		No Ethnic Origin Entered	1
	No Race Entered	No Ethnic Origin Entered	1
		<b>Total Count</b>	<b>10548</b>

Source: ICON

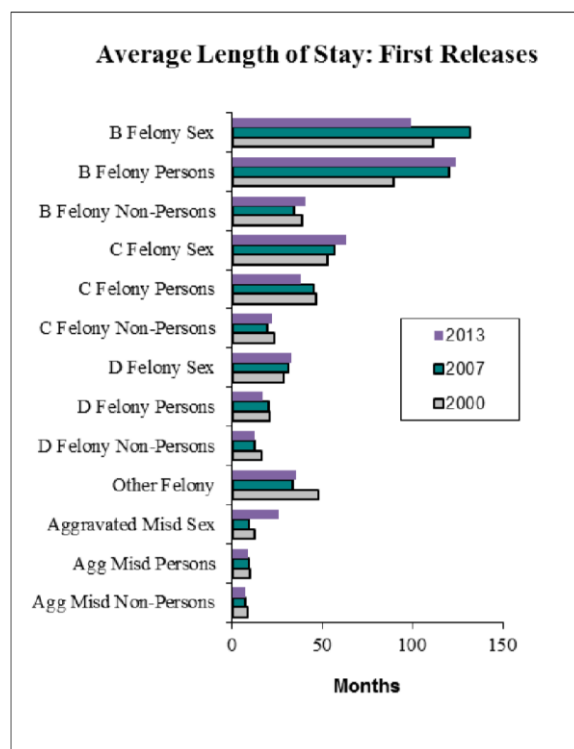
Figure 6: Length of Stay by Class of offense (months)

Inmate Mean Length Of Stay (In Months)											
	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
<b>New Admissions:</b>											
*No Parole - Murder-2nd	510.0	510.0	510.0	464.1	--	--	--	--	--	--	
*No Parole - Other Class B	--	--	--	--	43.0	78.7	95.1	14.3	--	73.6	116.5
*No Parole - Class C	102.0	102.0	84.0	86.0	88.3	89.8	89.1	88.9	89.4	93.6	93.6
*No Parole - Sex Predators	144.0	144.0	33.0	44.0	30.8	80.8	47.5	40.6	--	67.0	71.8
B Felony Persons	135.0	114.0	124.0	114.0	120.6	134.4	117.4	125.0	144.0	148.2	124.1
B Felony Non-Persons	33.0	35.0	36.4	31.0	34.2	40.3	36.5	42.8	38.6	39.0	40.5
B Felony Sex	--	127.0	146.0	134.0	132.3	158.8	173.7	187.2	176.3	201.9	222.4
C Felony Persons	48.0	43.0	40.0	36.0	44.9	46.2	44.5	47.6	43.7	47.1	38.0
C Felony Non-Persons	20.0	20.0	20.5	20.0	19.8	21.3	21.8	24.7	23.3	23.4	21.8
C Felony Sex	--	57.0	53.0	53.0	56.8	53.9	57.5	59.7	64.0	66.7	63.5
D Felony Persons	23.0	19.0	19.0	19.0	20.1	19.3	21.0	22.0	20.6	21.2	16.9
D Felony Non-Persons	13.0	13.0	12.5	12.0	12.4	13.3	14.1	14.6	14.5	13.5	12.2
D Felony Sex		29.0	32.0	26.0	31.1	31.5	35.2	31.5	36.8	31.7	33.0
Other Felony	35.0	38.0	33.3	35.0	33.4	41.6	45.6	41.5	39.9	41.9	35.5
Other Felony Non-Persons	--	35.0	32.0	32.0	33.4	39.8	40.9	38.1	34.4	36.0	32.9
Other Felony Persons	--	42.0	64.0	79.0	64.5	41.3	80.7	66.6	46.6	64.4	55.3
Other Felony Sex	--	80.0	25.0	33.0	78.1	80.8	92.3	--	409.8*	77.6*	71.8
Agg Misdemeanor Persons	10.0	10.0	9.0	9.0	9.3	9.9	10.5	9.5	9.0	8.7	8.6
Agg Misd Non-Persons	7.0	7.0	6.5	7.0	7.5	7.6	8.0	7.9	7.7	7.7	7.1
Agg Misdemeanor Sex	--	11.0	12.0	9.0	9.4	14.2	12.5	11.5	13.5	12.9	25.7
Serious Misdemeanor	8.0	7.0	6.3	5.0	6.6	6.4	12.4	6.4	6.9	7.3	6.2
Drunk Driving Initial Stay	6.0	5.0	5.2	5.0	6.0	5.7	6.6	5.6	8.0	7.5	6.1
All New Admissions		19.6	20.5	19.2	20.1	21.4	22.5	23.2	20.8	23.0	21.7
<b>Readmissions:</b>											
B Felony	23.0	27.0	22.9	18.0	22.1	21.3	31.1	30.3	27.8	31.2	26.2
C Felony	12.0	12.0	13.0	12.0	11.8	12.9	16.0	15.4	17.6	16.2	13.7
D Felony	9.0	8.0	9.1	9.0	8.5	9.9	9.9	10.6	11.6	10.3	8.8
Other Felony	14.0	22.0	18.3	13.0	15.8	25.8	23.5	26.3	25.4	26.0	20.2
Drunk Driving Returns	--	8.0	10.0	9.0	9.1	10.7	9.9	10.0	12.4	10.3	8.3
All Misdemeanors	6.0	6.0	6.0	5.0	5.3	6.5	5.8	6.4	5.0	9.0	5.9
Violator Placement	5.0	4.0	4.9	5.0	4.7	4.6	4.8	4.8	4.0	--	--
All Returns (no Violators/Safekeepers)	--	11.2	11.8	10.4	10.8	12.7	14.2	15.2	16.3	16.2	13.5

\*One Case

Figure 6 denotes the average length of stay in months broken down by class of offense. The average length of stay is the measured average duration an offender remains in prison from reception to the first release to parole or work release. The graph does not measure the duration of time a person would remain in prison after returning from parole or work release pursuant to a revocation proceeding. Figure 7 below illustrates the same information for the years 2000, 2007 and 2013 for comparison purposes. Figure 8 below illustrates the average length of stay on releases occurring after a return to prison on a parole or work release revocation.

Figure 7: Average Length of Stay by Class of Offense comparing 2000, 2007 and 2013



Source: ICON, compiled by CJJP

Figure 8: Average Length of Stay-Re-Releases

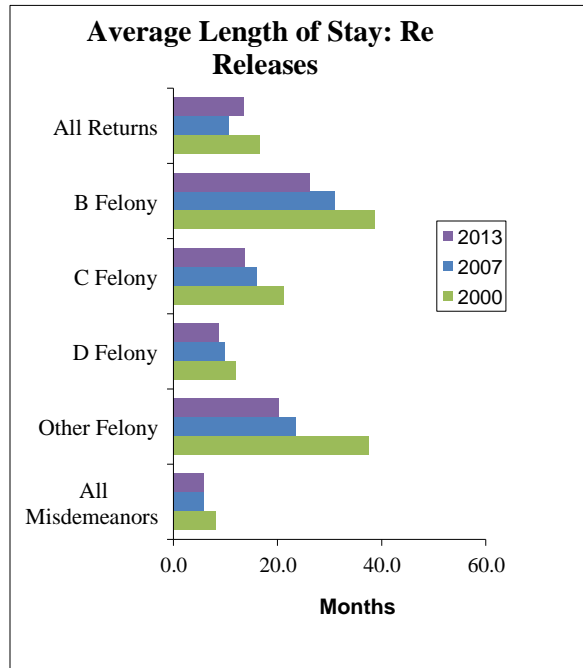
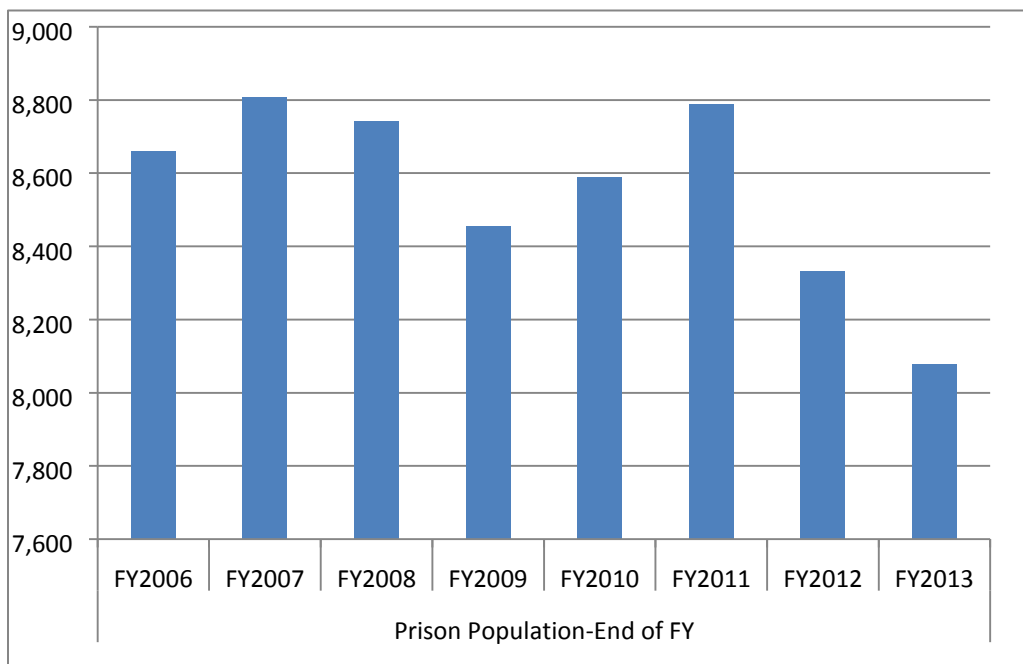


Figure 9: Prison Population Trend FY2006-FY2013



## XIII. APPENDIX A: IOWA PAROLE RISK ASSESSMENT

### Iowa Parole Risk Assessment: Construction & Validation

#### Overview

This report documents the construction and validation of the Iowa Parole Risk Assessment. This assessment may be used to assess the potential for future violence and victimization among Iowa prison inmates when released from prison. This assessment builds on the many years of research and previous versions of parole risk assessments designed by Dr. Daryl Fischer of the Statistical Analysis Center, Iowa Office for Planning and Programming. The Iowa Board of Parole has used these risk assessments to assist in release decision-making since 1981. Revision was necessary due to loss of statistical prediction of the 1995 version, the last one designed by Fischer for use in Iowa.

The resulting assessment's nine items focus on current and prior offenses, security threat group membership, and current age (see form on pp. 7-8). The scoring results in separate violence risk and victimization risk scales. Victimization refers to violent and property offenses—crimes with quantifiable economic costs and which victims feel personally. Victimization offenses include burglary, identity theft, unauthorized use of credit cards, and other property crime.

- **Violence Risk.** Predicts the likelihood of conviction for any new violent crime within three years of release. Prediction is for any level of offense—simple misdemeanor through felony.
- **Victimization Risk.** Predicts the likelihood of return to prison for a new violent or property offense within three years of release. Because a prison term is involved, victimization risk focuses on more serious crime—mainly aggravated misdemeanor and felony offenses.

The Iowa Parole Risk Assessment is also useful as a screening tool for broader definitions of recidivism. For example, the victimization risk demonstrates utility as a screening device for the likelihood of return to prison for any new conviction.

The Iowa Parole Risk Assessment is not intended to be completed for offenders whose most serious offense is a sex offense. Such offenders were not included in the offender samples used to construct and validate the Iowa Parole Risk Assessment. The Iowa Sex Offender Risk Assessment and Static-99R assessment are specific to this population and are excellent predictors of the likelihood of new sex offenses or other violent crime among this population. However, ICON will not prohibit the Iowa Parole Risk Assessment from being completed if the most serious

offense is a sex offense. The assessment may therefore be completed on a trial basis for sex offenders who have a history of violent and/or property crime unrelated to sex offending.

The author would like to thank Dr. Fischer as well as Dr. Paul Stageberg of the Iowa Division of Criminal and Juvenile Justice Planning for their review, encouragement and advice with regard to this new version of the Iowa Parole Risk Assessment. The author also thanks Cheryl Davidson of the Iowa Division of Criminal and Juvenile Justice Planning for her work on compiling the data set used in this study.

## Methodology

The data set for the construction and validation of the Iowa Parole Risk Assessment was the data set used in the validation of the 1995 version. The data set consisted of offenders exiting prison or work release by way of parole or discharge of sentence in FY2007 and tracked for return to prison within three years of release. The core data set was run from a report available in the Iowa Justice Data Warehouse. The Division of Criminal and Juvenile Justice Planning (CJJP), Iowa Department of Human Rights performed the validation analysis of the 1995 version risk assessment. CJJP cleaned the data (removing deceased individuals and offenders who were deported and therefore not at liberty to reoffend in Iowa). CJJP also added conviction information from the Iowa Court Information System stored on the data warehouse.

For the present study, this researcher obtained and merged conviction history detail from two sources: 1) the 1995 version parole risk assessment input file; and 2) the Iowa Corrections Offender Network (ICON) database. Prison movement data (admissions and releases) were also collected for the purposes of evaluating time on the street between incarcerations. Various data quality checks were performed on the CJJP validation file, and 161 sex offenders (identified based on most serious offense) were removed, because two specialized sex offender risk assessments have been validated for predicting new sex offenses and other violent crime among this group.

Since the validation file consisted only of offenders who had a 1995 version risk assessment completed prior to release, the data set was compared with the entire FY2007 release cohort who were non-sex offenders. No statistically significant differences were found with regard to offense type and recidivism rates between the study sample and the entire release cohort.

Recidivism measures of focus were convictions for violent crime (simple misdemeanor through felony), felony and aggravated misdemeanor property offenses, any other felony offense, or any return to prison due to new conviction (regardless of type of offense). These measures are in

line with the goals of reducing victimization and corresponding victimization costs, and appropriate utilization of prisons.

Recidivism criteria were as follows: 1) first return to prison with new conviction; or 2) return to prison with new conviction within three years of street time; or 3) new conviction within three years of street time (through the ICIS conviction period ending 11/30/2010). Most serious offense as well as any violent crime were measured within these parameters. Only in-state convictions were available for study. With regard to criterion #2, offenders whose first return to prison was due to technical violations of the parole agreement were tracked further for any return to prison due to new conviction. A few offenders were removed from the sample who had fewer than 32 months of street time and no new conviction.

### Sample Characteristics

The revised sample size for this study was 2,662 unique offenders. Following are some general characteristics of the sample:

- 87% were new prison admissions (NCC/NCCPB); 13% were returnees from shock probation (and “probation other than shock”), parole, and work release/OWI.
- 382 or 14% were women. This is insufficient to analyze women separately from men and insufficient to contemplate the utility of a gender-based risk assessment. However, the analysis did evaluate the predictive strength of the revised risk assessment with regard to female offenders.
- 77% were White; 21% Black; 2% Native American; 1% Asian; and 4% Hispanic (any race).
- Most serious offense at release: 77% were felons; 23% were misdemeanants.
- Most serious offense at release: 33% were Property offenders; 32% Drug; 18% Violent; 16% Public Order; 1% Other.
- 77% were released from prison; 23% were released from work release.
- 75% were released to parole (2% received parole with immediate discharge); 25% were discharged due to expiration of sentence.
- Recidivism rates: Total recidivism rate = 35.5%. Rate of any new violent conviction = 14.9%. Rate of return to prison for any new conviction = 20.1%.

The data set was split into separate construction and validation samples using the random sample selection feature of SPSS, each containing 50% of all cases. The construction sample was used to test various risk factors and alternative risk assessments. The validation sample was used to statistically validate the best risk assessment versions created with the construction sample. The first several violence risk scales failed to validate, however, requiring twenty-nine



iterations of construction and testing. Once the violence risk scale was validated, the victimization risk scale, which builds on the violence risk factors, required only six iterations of testing to meet the validation standards.

### Standards for Statistical Validation

The predictive strength of the risk assessment was evaluated using the Mean Cost Rating (MCR) statistic, “perhaps the most satisfactory statistical index of predictive selectivity” (Inciardi, Babst, Koval 1973). MCR is a special case of Somers’ D (Greene, Hoffman, Beck 1994), and appropriate to use with ordinal data.

MCR measures the effectiveness of a risk assessment instrument by weighing the costs of assessing cases incorrectly at each risk level with the benefits of assessing risk correctly at each risk level in regards to a third factor such as recidivism (Berkson, 1947). MCR scores vary from 0.00 to 1.00; a score of zero indicates that there is no prediction of recidivism, and a score of 1.00 indicates a perfect prediction. “For a device to show any utility for screening or predictive purposes, it must demonstrate a value of MCR of at least .250 and a value of at least .350 to significantly improve on existing judgments (Fischer, 1985).”

The ROC Curve is a useful way to evaluate the performance of classification schemes in which there is one variable with two categories by which subjects are classified – in this case, recidivism or no recidivism. Like MCR, a score of 1 represents perfect prediction, and therefore higher scores are more favorable. In previous studies of the Static-99 sex offender risk assessment, ROC Curve results have ranged between .70 and .89 (per the Iowa Static-99 training PowerPoint presentation).

### Risk Factors

Previous recidivism prediction research by Fischer of Iowa prison releases formed the basis for the many risk factors developed and tested during the course of this endeavor. In short, Fischer found that **severity, volume and recency** of prior convictions predicted both general recidivism and new violent crime better than more conventional measures such as the total number of prior convictions. Fischer also factored in street time—that is, time at liberty between incarcerations—into his analyses. Thus, the more serious and the more recent (in terms of street time) a prior conviction is, the more predictive it is of an offender’s likelihood of engaging in future criminal activity on release from prison.

Additionally, the present study was inspired by ongoing “redemption” research by Alfred Blumstein and Kiminori Nakumura that seeks to calculate when an ex-offender is at no greater risk of committing another crime than other individuals of the same age. While the focus of

their efforts is on crime desistence, this researcher saw potential implications for offender risk prediction especially considering Fischer’s findings with regard to the increased risk of recent past criminal behavior. The question this researcher asked was, can a prior conviction become so old that it no longer contributes to risk prediction? To answer this question, prior convictions were examined with regard on the age of the conviction compared to the sentencing date(s) of the current serving offense(s). With a few exceptions (i.e., murder/manslaughter, robbery, theft from a person, and when the prior prison release occurred within five years of the current prison term), the findings herein indicate that criminal history occurring within the past ten years prior to the current incarceration predicts *better* than lifetime criminal history measures.

After best prediction was obtained by incorporating factors involving current offense and prior criminal record, the author turned to two additional factors to potentially boost predictive value: offender age and documented security threat group (or gang) membership. With regard to age, findings revealed that current age was more predictive than age at prison admission. And finally, overall prediction of risk was enhanced with the addition of confirmed security threat group membership as a factor. The ICON database contains two levels of security threat group membership—suspected and confirmed—and only confirmed membership was found to enhance prediction.

## Risk Assessment Form

The resulting, validated risk assessment is shown on the following two pages. Scoring is discussed in the companion report, *Iowa Parole Risk Assessment: Overview and Coding Instructions*.

## Validation Findings

The remainder of this report presents the validation findings and other key information, including statistical tables for each risk item and documentation that risk factors based on criminal history over the last five or ten years predicts better than lifetime criminal record.

*Not to be completed for offenders whose most serious offense is a sex offense.*

### Iowa Parole Risk Assessment

	Violence Score	Victimization Score
<b>Current Offense</b>		
<b>1. Active Offenses Include -</b>		
a. Assault, Attempted Murder, Burglary, Robbery, Murder, Theft from a Person, Vandalism or Voluntary Manslaughter	2	2

b. Not as above but <b><u>most serious offense</u></b> is Forgery/Fraud	-1	0
c. Not as above	0	0

## 2. Number of Counts, Current Property Offenses

a. None	0	0
b. One	0	1
c. Two or More	0	2

## Criminal History -- Volume and Seriousness

### 3. Ever Convicted of Murder/Manslaughter, Robbery or Theft from a Person (Priors Only)

- a. Yes 1 1  
b. No 0 0

For Items 4-5, consider only convictions where date of conviction or sentencing is 10 years or less from the earliest sentence date of the current offense(s).

<b>4. Number of Prior Counts for Violent Crimes Within Last 10 Years (Any Offense Level)</b>	a. None	0
0		
b. One to Three	1	1
c. Four or More	2	2

### 5. Prior Convictions Within the Last 10 Years (check ALL that apply) -

For a through c, count only aggravated misdemeanors, felonies or juvenile commitment offenses:

- a. Property Crime 0 1  
b. Burglary (include violent and property offense types) 1 1  
c. Weapons 1 1  
d. Flight/Escape (any offense level) 1 1  
e. Not as above 0 0

## Criminal History - Recency

For Item 6, consider only convictions where date of conviction or sentencing is 5 years or less from the earliest sentence date of the current offense(s).

<b>6. Prior Conviction for Violent Crime in the Last 5 Years (Any Offense Level)</b>	a. Yes	2	2
b. No	0	0	
<b>Violence</b>			
<b>Victimization</b>			

Score Score

## Criminal History - Recency (continued)

For Item 7, count from last release from prison or juvenile commitment to current prison admission date.

### 7. Released from Prison or Juvenile Commitment in the Last 5 Years for (check ALL that apply) -

a. Violent Crime	2	2
b. Property Crime	0	1

c. Not as above	0	0
<b>Criminal Orientation/Associates</b>		
<b>8. Security Threat Group Membership</b>		
a. Confirmed Member	3	3
b. Suspected or None	0	0
<b>Current Age</b>		
<b>9. Current Age</b>		
a. 24 or Younger	2	1
b. Age 25-29	2	0
c. Age 30 - 37	1	0
d. Age 38 - 54	0	0
e. Age 55 or Older	0	-1
<b>Total Scores</b>		

#### Violence Score Categories

Low	-1 to 2
Moderate	3 to 5
High	6 to 9
Very High	10+

#### Victimization Score Categories

Low	-1 to 1
Low/Moderate	2 to 3
Moderate/High	4 to 7
High	8+

## Violence Risk Scale

**Figure 1. Violence Risk Categories by New Conviction for a Violent Crime (Combined Samples)**

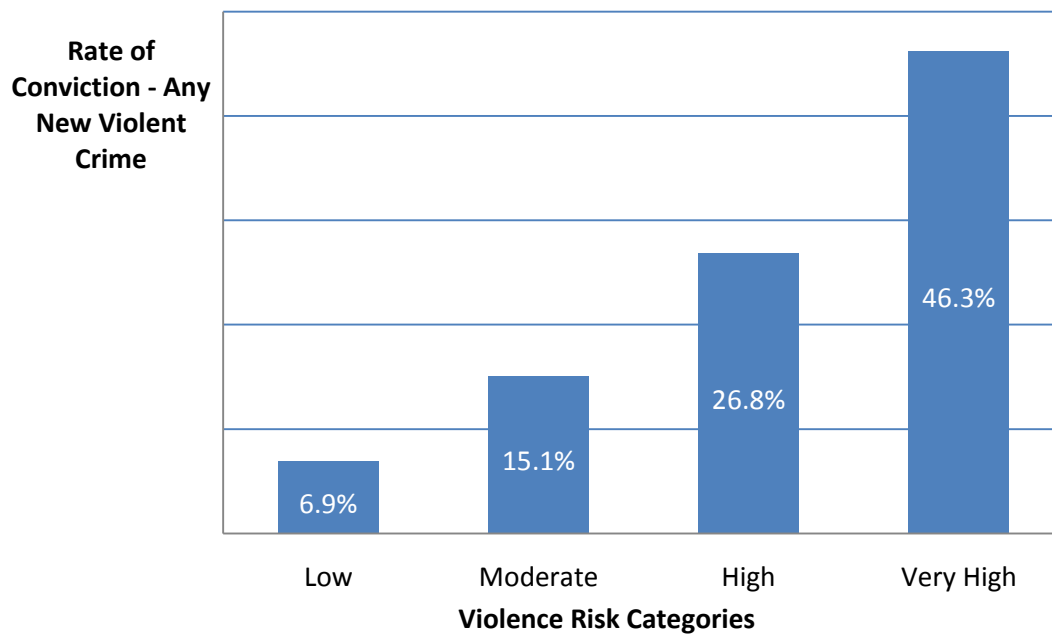


Figure 1 above shows recidivism rates for all 2,662 cases in the data set. The recidivism criterion is new conviction for a violent crime (simple misdemeanor through felony) per Iowa District Court data. The baseline recidivism rate was 14.9%.

Figure 2 on the following page shows findings for the validation sample only by raw score. MCR = .380 surpassing the .350 benchmark for significant improvement on existing judgments. ROC = .690.

The cut-off scores for the violence risk categories were derived by testing several options against both the validation and construction samples separately. The best option resulted in MCR > .350 for both samples. As may be surmised by examination of Figure 2, there did exist a “better fit” for risk categories for the validation sample, which would have placed those scoring two in the Moderate rather than Low category. However, this option did not result in MCR > .350 for the construction sample.

**Figure 2. Violence Score by New Conviction for a Violent Crime (Validation Sample)**

	Raw Score		Total	Recid_AnyNewViolence	
				No	Yes
ViolenceScore	-1.00	Count	18	16	2
		%	100.0%	88.9%	11.1 %

	.00	Count	187	180	7
		%	100.0%	96.3%	3.7 %
	1.00	Count	148	141	7
		%	100.0%	95.3%	4.7 %
	2.00	Count	214	190	24
		%	100.0%	88.8%	11.2 %
	3.00	Count	157	138	19
		%	100.0%	87.9%	12.1 %
	4.00	Count	181	157	24
		%	100.0%	86.7%	13.3 %
	5.00	Count	139	120	19
		%	100.0%	86.3%	13.7 %
	6.00	Count	82	59	23
		%	100.0%	72.0%	28.0 %
	7.00	Count	84	63	21
		%	100.0%	75.0%	25.0 %
	8.00	Count	52	38	14
		%	100.0%	73.1%	26.9 %
	9.00	Count	24	19	5
		%	100.0%	79.2%	20.8 %
	10.00	Count	27	15	12
		%	100.0%	55.6%	44.4 %
	11.00	Count	9	4	5
		%	100.0%	44.4%	55.6 %
	12.00	Count	3	3	0
		%	100.0%	100.0%	0.0 %
	13.00	Count	5	3	2
		%	100.0%	60.0%	40.0 %
14.00	Count	1	0	1	
	%	100.0%	0.0%	100.0 %	
Total		Count	1331	1146	185
		%	100.0%	86.1%	13.9 %

### Victimization Risk Scale

**Figure 3. Victimization Risk Categories by Return to Prison for a Victimization Crime (Combined Samples)**

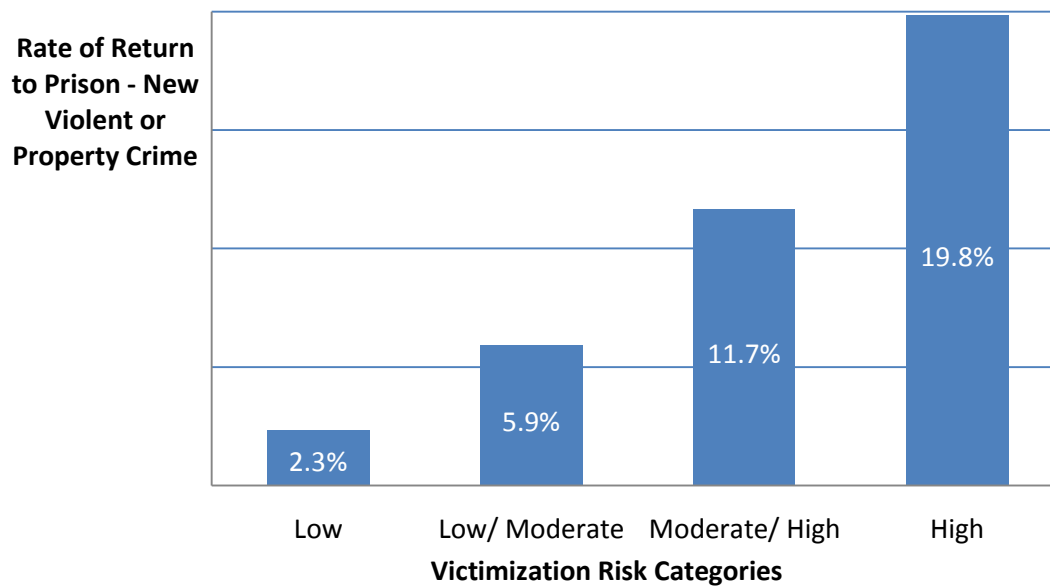


Figure 3 above shows recidivism rates for all 2,662 cases in the data set. The recidivism criterion is return to prison for a new violent or property crime per ICON. The baseline recidivism rate was 9.0%.

Figure 4 on the following page shows findings for the validation sample only by raw score. MCR = .412 surpassing the .350 benchmark for significant improvement on existing judgments. ROC = .706.

The cut-off scores for the victimization risk categories were derived by testing several options against both the validation and construction samples separately. The best option resulted in MCR > .350 for both samples. In this instance, the cut-off scores selected were the “best fit” for the validation sample.

As discussed in the next section, the victimization risk scale also predicts new conviction for a victimization crime regardless of whether it was associated with a return to prison. MCR = .370 for the validation sample regarding prediction of this form of recidivism.

**Figure 4. Victimization Score by Return to Prison for a Victimization Crime (Validation Sample)**

	Raw Score		Total	RetPrisonVictimization	
				No	Yes
Victimizati on Score	-1.00	Count	10	10	0
		%	100.0%	100.0%	0.0 %

	.00	Count	204	201	3
		%	100.0%	98.5%	1.5 %
	1.00	Count	150	145	5
		%	100.0%	96.7%	3.3 %
	2.00	Count	151	143	8
		%	100.0%	94.7%	5.3 %
	3.00	Count	178	166	12
		%	100.0%	93.3%	6.7 %
	4.00	Count	125	110	15
		%	100.0%	88.0%	12.0 %
	5.00	Count	146	137	9
		%	100.0%	93.8%	6.2 %
	6.00	Count	104	89	15
		%	100.0%	85.6%	14.4 %
	7.00	Count	79	69	10
		%	100.0%	87.3%	12.7 %
	8.00	Count	66	52	14
		%	100.0%	78.8%	21.2 %
	9.00	Count	54	43	11
		%	100.0%	79.6%	20.4 %
	10.00	Count	23	21	2
		%	100.0%	91.3%	8.7 %
	11.00	Count	27	20	7
		%	100.0%	74.1%	25.9 %
	12.00	Count	11	8	3
		%	100.0%	72.7%	27.3 %
	13.00	Count	2	2	0
		%	100.0%	100.0%	0.0 %
	14.00	Count	1	0	1
		%	100.0%	0.0%	100.0 %
Total		Count	1331	1216	115
		%	100.0%	91.4%	8.6 %

## Utility as Screening Tools

As noted previously, the statistical benchmark for a risk assessment to demonstrate utility for screening or predictive purposes is  $MCR > .250$ . The violence and victimization scores were each evaluated with regard of their ability to predict broader definitions of recidivism. Figure 5 provides summary documentation of the predictive power or screening utility of the violence and victimization scales. Figures 6 through 8 provide recidivism rates by risk category for some of these additional recidivism measures.



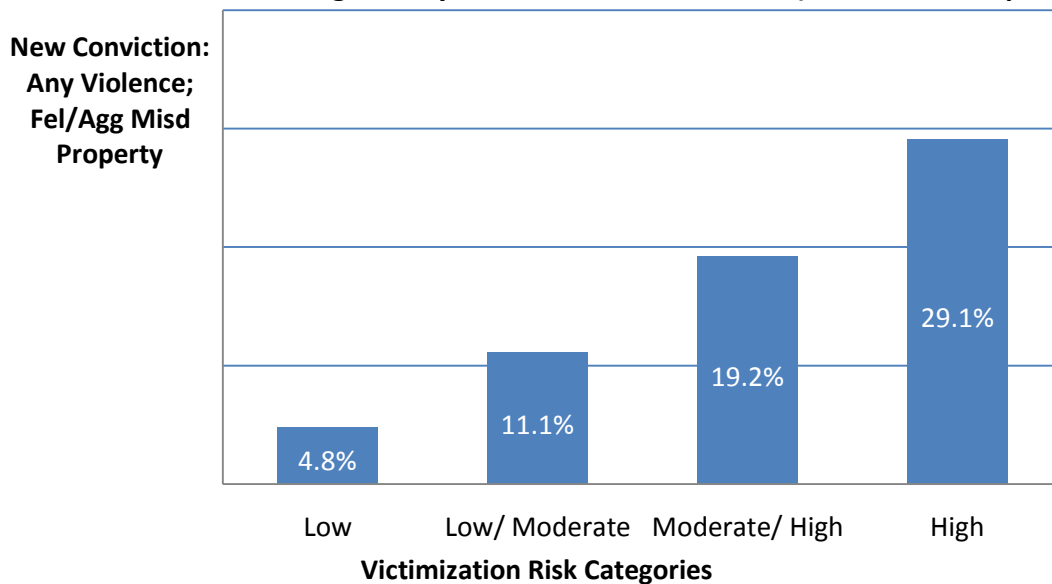
**Figure 5. Summary of Predictive Validity or Utility for Screening Various Recidivism Definitions (Validation Sample)**

Recidivism Criterion	Violence Score	Victimization Score
Any New Conviction – Violent Crime	YES	utility for screening
Return to Prison - Victimization Crimes	utility for screening	YES
New Conviction - Victimization Crimes	utility for screening	YES
Return to Prison - Any New Conviction	NO	utility for screening
New Conviction - Any Violent Crime; Felony or Misdemeanor Property; Any Other Felony	utility for screening	utility for screening

YES = Statistical Prediction (MCR > .350); Utility for Screening = MCR between .250 and .350; NO = No utility/not predictive.

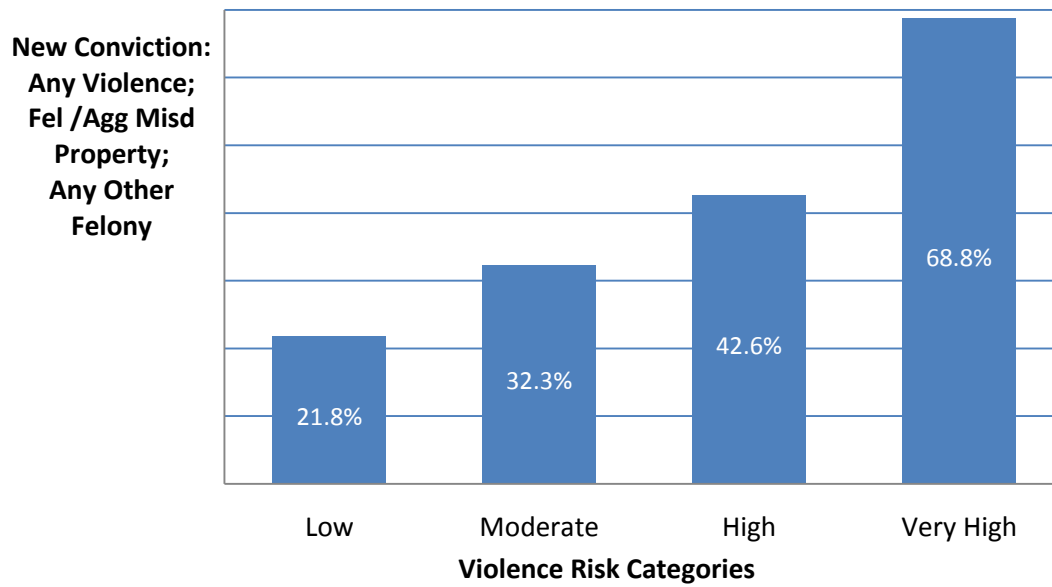
Victimization Crimes = Any new violent crime or felony/aggravated misdemeanor property crime.

**Figure 6. Victimization Risk Categories by New Victimization Crime (Combined Samples)**



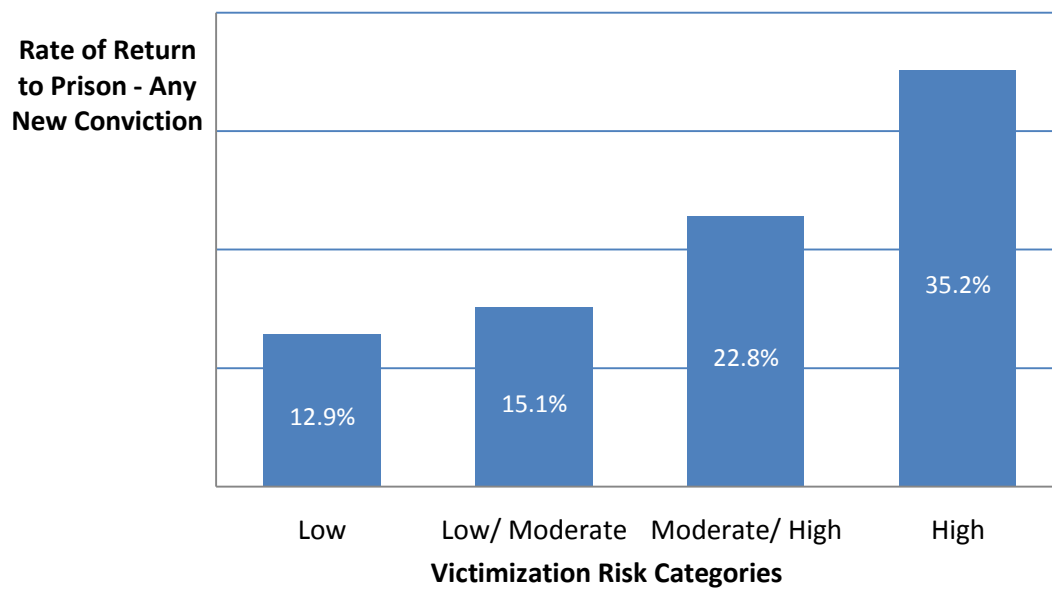
Base recidivism rate = 14.9%

**Figure 7. Violence Risk Categories by New Conviction for a Victimization Crime OR Any Felony (Combined Samples)**



Base recidivism rate = 31.0%

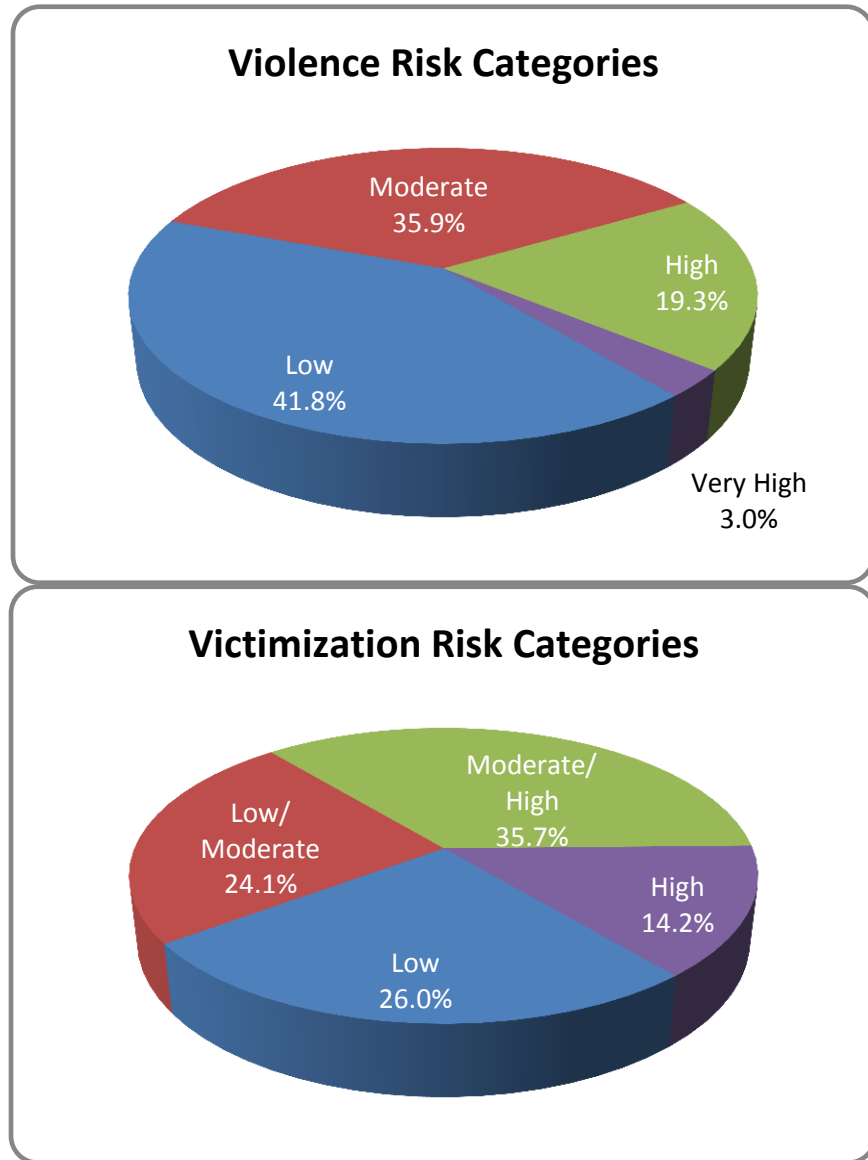
**Figure 8. Victimization Risk Categories by Return to Prison for Any New Conviction (Combined Samples)**



Base recidivism rate = 20.1%

## Offender Risk Levels

**Figure 9. Offenders by Violence and Victimization Risk Categories (Combined Samples)**



**Figure 10. Offenders by Violence and Victimization Risk Categories (Combined Samples)**

		Victimization Score				Total
		Low	Low Moderate	Moderate High	High	
Violence Score	Low	673	324	115	1	1,113
	Moderate	18	318	563	56	955

	High	0	0	273	241	514
	Very High	0	0	0	80	80
Total		691	642	951	378	2,662

### Risk Assessment Items: Predictive Strength

Figure 11. Predictive Strength of Individual Risk Items (Construction Sample)

Predictive Strength of Risk Items (Construction Sample)		Gamma values for --	
		Violence Scale	Victimization Scale
Risk Item (and variable names)	Data Type	Conviction - Violent Crime	Return to Prison - Victimization Crime
<b>1. Current Offenses</b>			
a. AnyCurr_TargetOffense_4_2	Y/N	0.340	0.261
b. MS_ForgFraud	Y/N	0.185	NA
<b>2 . Number of Current Property Offenses</b>			
AnyCurr_Property_2	Numeric	NA	0.360
<b>3 . Criminal History - Ever (Selected Offenses )</b>			
TotPrior_Rob_TheftPer_MurderMans_YN	Y/N	0.294	-0.001
<b>4 . Number of Prior Counts for Violent Crimes</b>			
PCV_10_1	Numeric	0.376	0.182
<b>5 . Prior Criminal History - Last 10 Yrs</b>			
a. PCP_10_1	Y/N	NA	0.341
b. PriorBurg_YN	Y/N	0.121	0.398
c. Prior_Weapons_YN	Y/N	0.272	0.378
d. Prior_FlightEsc_YN	Y/N	0.372	0.312
<b>6 . Prior Criminal History - Last 5 Yrs - Violent C rime</b>			
PV_L5_1 (violent crime)	Y/N	0.408	0.206
<b>7 . Prior Prison Term - Last 5 Yrs</b>			
a. Prior_ViolIncarc_L5_2	Y/N	0.509	0.302
b. Prior_ProplIncarc_L5	Y/N	NA	0.529
<b>8 . Security Threat Group Membership</b>			
Gang_4 (confirmed)	Y/N	0.434	0.461
<b>9 . Current Age</b>			

AgeCat_Curr_5	Numeric	0.345	NA
AgeCat_Curr_6	Numeric	NA	0.122
NA is shown when risk factor was not used to compute that particular scale.			

During risk scale construction, many variables were tested, recoded, and retested. Figure 11 shows the predictive strength of the items comprising the final Iowa Parole Risk Assessment (pp. 7-8). Item numbers and letters (where applicable) in Figure 11 correspond to the form. So for example, variable 5A – PCP\_10\_1 refers to risk item 5A – prior conviction for a property crime within the past ten years.

### Documentation: More Recent Prior Criminal Record Predicts Better

Figure 12 shows a portion of the output from an early phase of the study where potential risk factors to include in the revised risk assessment were identified. Highlighted items indicate variables chosen for further study during that phase. Gamma scores are listed for the four separate recidivism measures that were being analyzed during this phase of the study. Please note that “priors” here refers to prior convictions or juvenile adjudications. Where the time frame is not specified, the variable is a “lifetime” measure of criminal history. Prior incarceration time frames are the time elapsed between the prior prison release and the current prison admission (first prison admission for the current offenses). Time frames for prior convictions refer to the time elapsed between the prior sentencing date and the first sentencing date for the current offense(s) for which the offender is serving prison time.

**Figure 12. Predictive Strength of Prior Criminal History Items – Lifetime, 10 Years & 5 Years (Construction Sample)**

Construction Sample Risk Item Results		Gamma			
Risk Factor	Data Type	New Conviction Victimization or Any Felony	Any New Violence	Return to Prison Any New Conviction	New Conviction Victimization Crime
<b>Prior Criminal History</b>					
Prior Prison/JuvCommit Last 5 Yrs	Y/N	0.418	0.235	0.522	0.305
Prior Prison/JuvCommit Last 10 Yrs	Y/N	0.384	0.200	0.510	0.263
Prior Felony Last 5 Yrs	Y/N	0.235	0.119	0.260	0.111
Prior Felony Last 10 Yrs	Y/N	0.249	0.081	0.283	0.177
Prior Violent Last 5 Yrs	Y/N	0.304	0.408	0.191	0.269
Prior Violent Last 10 Yrs	Y/N	0.268	0.372	0.154	0.199
Prior Any Last 5 Yrs	Y/N	0.304	0.331	0.272	0.299
Prior Any Last 10 Yrs	Y/N	0.377	0.482	0.312	0.339
Total Prior Sentence Dates	Number	0.195	0.110	0.225	0.207

Prior Sentence Dates Last 5 Yrs	Number	0.250	0.239	0.243	0.175
Prior Sentence Dates Last 10 Yrs	Number	0.250	0.202	0.258	0.218
Prior Counts Drug	Number	0.018	-0.182	0.200	-0.010
Prior Counts Drug Last 10 Yrs	Number	0.032	-0.126	0.164	-0.066
Prior Counts Other	Number	0.430	0.179	0.222	0.426
Prior Counts Other Last 10 Yrs	Number	0.384	-0.034	0.284	0.305
Prior Counts Property	Number	0.216	0.004	0.260	0.309
Prior Counts Property Last 10 Yrs	Number	0.285	0.075	0.312	0.346
Prior Counts Public Order	Number	0.093	0.035	0.125	-0.065
Prior Counts Public Order Last 10 Yrs	Number	0.111	0.075	0.149	-0.082
Prior Counts Violent	Number	0.184	0.245	0.142	0.167
Prior Counts Violent last 10 Yrs	Number	0.241	0.316	0.160	0.185

As shown, release from prison or juvenile commitment within the past five years predicted better across all four recidivism measures than release within the past ten years. Regarding prior convictions, number of sentencing dates within the past ten years predicted better than number of lifetime sentencing dates across all four recidivism measures. The same was found for nearly all specific offense types studied.

Further testing found that lifetime prior convictions for murder/manslaughter offenses, robbery and theft from a person (that is, theft combined with an assault) held predictive value for violence prediction (please refer to p. 16).

Author:

Lettie Prell

Director of Research

Iowa Department of Corrections

April 2013

## **XIV. APPENDIX B: MISSION STATEMENT, GOALS, GUIDING PRINCIPLES**

### **Board of Parole Mission Statement**

To enhance overall public safety by making evidence-based and informed parole decisions for the successful re-entry of offenders back into the community to become productive and responsible citizens.

### **Board of Parole Goals**

Utilize evidence-based practices in the decision-making process Promote supervised release at the appropriate time and level.

Enhance a collaborative working relationship with all stakeholders in the criminal justice system

Foster a deliberation system that respects the interest of the public, victims, and offenders

Be fiscally responsible to the taxpayers of the State of Iowa

Be vigilant in the acquisition of knowledge and process improvement

Become a nationally recognized leader among paroling authorities

### **Guiding Principles**

The BOP acknowledges and will perform its duty to give each eligible inmate timely, fair, thorough, and individualized consideration for conditional release as required by law. To help manage inmate expectations, give guidance as to the factors that may positively and negatively impact the amount of time an inmate may expect to serve, and to ensure fair and uniform consideration, the BOP recognizes the following guiding principles:

The BOP may identify a representative term for a particular offense based upon BOP precedent, offense type, and risk assessment results. Any representative term identified by the BOP for a particular offense is purely advisory. The BOP shall release an inmate based solely upon an individualized consideration of all pertinent information and criteria as provided in the Iowa Code and the BOP's administrative rules. No expectation of release should arise from the BOP's identification of a representative term for a particular offense. Nor shall the BOP's discretion to release an inmate at anytime authorized by law be limited in any way by the BOP's identification of a representative term for a particular offense.

To allow for the most efficient use of scarce BOP resources and time, the BOP will generally not consider / review an offender until AFTER a Mandatory Minimum Sentence has been served.

**Factors That May ‘Add Time’ to or Otherwise Lengthen the Term of Incarceration an Offender Can Expect to Serve BEFORE the BOP Grants Conditional Release on Parole or Work Release**

Among the aggravating circumstances that the BOP may consider in determining the “appropriate time” an individual offender should serve before receiving a conditional release from the BOP include:

- ☐ Nature and circumstances of the offense
- ☐ Lack of participation in institutional programs, including academic, vocational training, and self-help programs
- ☐ Psychiatric and psychological evaluation results
- ☐ Institutional misconduct
- ☐ Recent or repeated violations of community supervision
- ☐ Poor or lack of re-entry plan
- ☐ LSIR score
- ☐ Other

**Factors That May ‘Subtract Time’ from or Otherwise Shorten the Term of Incarceration an Offender Can Expect to Serve BEFORE the BOP Grants Conditional Release on Parole or Work Release**

Among the mitigating circumstances that the BOP may consider in determining the “appropriate time” an individual offender should serve before receiving a conditional release from the BOP include:

- ☐ Pro-social behavior
- ☐ Completion of intervention programming and participation in self-initiated programming
- ☐ Institutional behavior
- ☐ Strength and progress of re-entry plan
- ☐ Special re-entry circumstances
- ☐ Other

These factors may also offset or “balance” previous aggravating circumstances

Adopted February 6, 2013.